
CHAPTER 1

THE MANAGEMENT STRUCTURE AND OPERATING DETAILS OF THE CALTRANS SAFETY PROGRAM

THE CALTRANS INJURY AND ILLNESS PREVENTION PROGRAM

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CHAPTER 1

THE MANAGEMENT STRUCTURE AND OPERATING DETAILS OF THE CALTRANS SAFETY PROGRAM

THE CALTRANS INJURY AND ILLNESS PREVENTION PROGRAM

1.00 INTRODUCTION

This chapter introduces and describes the operating details of Department's Injury and Illness Prevention Program.

1.01 PURPOSE

The purpose of this chapter is to explain the roles and responsibilities of the Director, Deputy Directors, District Directors, Service Center Directors, Program Managers, and the Department's Safety and Health staff.

It also explains the responsibilities of managers, supervisors, and employees who are required to maintain a safe, secure, and healthful work environment. Finally, it describes the composition and function of the various safety and health committees.

1.02 POLICY STATEMENT

It is Caltrans policy to conduct its business, provide services, and to construct and maintain facilities in the safest possible manner consistent with applicable policy, procedure, or work practice, and promote through an effective injury and illness prevention program, a safe, healthful, and secure work environment for employees and visitors, including persons with disabilities, that is free from violence, threats, harassment, and intimidation, and protects the public from harm in connection with its operations.

1.03 LEGAL REQUIREMENTS FOR A WRITTEN INJURY AND ILLNESS PREVENTION PROGRAM

The Caltrans Injury and Illness Prevention Program is a fulfillment of State law as required by S.B. 198 enacted by the State Legislature in July 1991. The legislation is codified in Division 5 of the Labor Code and in Title 8 of the California Code of Regulations.

Division 5, Section 6401.7 of the Labor Code mandates that every employer shall have a written injury and illness prevention program. Further, Section 6401.7 requires that every employer will provide a safe and healthful workplace for their employees.

The Labor Code also requires that every employer enforce safety and health policies and practices and take appropriate disciplinary action whenever safety and health policies and practices are violated.

Title 8 of the California Code of Regulations represents the expressed social public policy of the State of California as set forth in the State Constitution and represents State law in securing safety in all places of employment. Within Title 8, Section 3203 of the General Industry Safety Orders (GISO) contains specific details about implementing and maintaining an effective Injury and Illness Prevention Program. (Title 8 of the California Code of Regulations is also known as the Cal-OSHA Regulations.)

These regulations require that every employer have a written injury and illness prevention program which includes: identification of the person responsible for implementation and enforcement of safety and health policies and procedures at each worksite and/or office; evaluation of workplace hazards and conducting periodic inspections; correction of unsafe or unhealthy conditions in a timely manner; safety training and periodic safety meetings; enforcement procedures for violations of safety regulations; and appropriate record keeping procedures.

As an employer, Caltrans management supports an injury and illness prevention program and remains committed to providing a safe, healthful, and secure work environment for employees and the public, including persons with disabilities, that is free from violence, threats, harassment, and intimidation, and protects the public from harm in connection with its operations.

EDITOR'S NOTE:

This manual is not a single source document and does not provide all of the details and information necessary to fulfill the requirements of the State law, and does not contain all of the essential elements of the entire written Caltrans Injury and Illness Prevention Program.

The user will have to consult with other Departmental manuals or reference materials, including training catalogs, Code of Safe Operating Practices (CSOP), Caltrans Guide to Employee Conduct and Discipline, Cal-OSHA regulations, Labor Code requirements, Uniform Building Code regulations, the State Administrative Manual (SAM), and/or related law, rule, or policy for additional information.

Manual users should contact the Departmental safety staff whenever they need assistance in interpretation and/or implementation of any stated policy or practice discussed in this manual, or issues and operating procedures that are not included in this manual.

1.04 HIGHLIGHTS OF THE Cal-OSHA REGULATIONS

The following items are the six (6) major elements of the State law as required in Section 3203 of the General Industry Safety Orders (GISO).

For managers and supervisors to be in substantial compliance with the Cal-OSHA regulations and the Department's Injury and Illness Prevention Program they shall:

- Schedule meetings with employees to discuss safety and health issues, workplace security, and emergency action plans:
 - At least quarterly for office workers.
 - At least every ten (10) working days for field employees.
- Conduct periodic worksite safety inspections of general office areas, field offices, laboratories, shops, and adjacent work areas, etc., by conducting the following types of inspections:
 - Informal - In the course of normal duties, inspect daily to detect and eliminate physical and environmental hazards, and visually review warning signs of potential workplace violence, write reports, and document findings and corrective actions taken.
 - Formal - Conduct walk-through inspections (include all items covered in Informal above) at least annually at all fixed worksites, write reports, and document findings and corrective actions taken.
 - Special - Performed in response to reports of unsafe conditions, health risks, new products, substances, equipment, or when advised that an incident occurred involving potential and/or actual act of violence, write reports, and document findings and corrective actions taken.
- Investigate and document all injuries, illnesses, and actual or alleged acts of workplace violence:
 - To identify contributing factors.
 - To prevent further occurrences.
- Provide training and maintain records of the training covering:
 - The hazards basic to all places of employment.
 - The hazards unique to each job assignment.
 - The recognition of workplace security hazards.
 - Use of emergency action plans.
- Enforce all safety and health laws, rules, and policies by:
 - Counseling and educating employees when appropriate.
 - Initiating appropriate disciplinary action when employees violate safety laws, rules, policies, or fail to comply with workplace security practices.
- Keep records on safety and health matters:
 - Maintain and have records accessible on all safety and health issues.
 - Maintain records on all worksite inspections and training programs for at least one (1) year.

1.05 DIRECTOR OF TRANSPORTATION

The Director of the Department of Transportation is charged with the responsibility of promoting safety and health policies, procedures, and work practices through an effective Injury and Illness Prevention Program as required by statute. The Director provides program direction through the Corporate and District staff to ensure a safe, healthy, and secure work environment exists for employees and the public, including persons with disabilities, that is free from violence, threats, harassment, and intimidation for its employees, and that the public is protected from harm in connection with Caltrans operations.

1.06 DEPUTY DIRECTORS, ASSISTANT DIRECTORS, SERVICE CENTER DIRECTORS, AND PROGRAM MANAGERS

The Deputy Directors, Assistant Directors, Service Center Directors, and Program Managers are responsible to direct their managers, supervisors, and employees to comply with all elements of the Caltrans Injury and Illness Prevention Program, and enforce through appropriate counsel, education, and discipline all safety and health policies, procedures, and work practices.

Managers in these positions are responsible to ensure that a safe, healthy, and secure work environment exists for employees and the public, including persons with disabilities, that is free from violence, threats, harassment, and intimidation of its employees, and that the public is protected from harm in connection with Caltrans operations.

Managers are responsible to assess safety and health program policy issues, review and analyze the effectiveness of the Department's Safety and Health Program. They are also responsible to ensure that safety and health issues are routinely discussed by all levels of management at staff meetings, or other appropriate meetings.

Service Center Directors and Program Managers may establish a Safety and Health liaison staff to coordinate their program with the Headquarters Office of Safety and Health.

They may develop, adopt, and publish safety and health policies and procedures consistent with Caltrans Injury and Illness Prevention Program goals and/or Cal-OSHA regulations to fit operational needs.

1.07 DISTRICT DIRECTORS OF TRANSPORTATION

The District Directors of Transportation are responsible to direct their managers, supervisors, and employees to comply with all elements of the Caltrans Injury and Illness Prevention Program and enforce through appropriate counsel, education, and discipline all safety and health policies and procedures.

District Directors are responsible to ensure that a safe, healthy, and secure work environment exists for employees and the public, including persons with disabilities, that is free from violence, threats, harassment, and intimidation for its employees, and that the public is protected from harm in connection with Caltrans operations.

District Directors are responsible to assess safety and health program policy issues, and to review and analyze the effectiveness of the Department's safety and health program. They are also responsible to ensure that safety and health issues are routinely discussed by all levels of management at staff meetings, branch chief meetings, or other appropriate meetings.

They may develop, adopt, and publish safety and health policies and procedures consistent with Caltrans Injury and Illness Prevention Program goals, and/or Cal-OSHA regulations, to fit operational needs.

District Directors shall establish and maintain appropriate accident prevention committees and a Safety and Health Office and staff.

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1.08 SUPERVISORY RESPONSIBILITY FOR SAFETY AND HEALTH POLICIES, PROCEDURES, AND WORK PRACTICES

Supervisors (See Special Note on Page 1-11) are responsible to conduct Caltrans business in the safest possible manner consistent with Departmental policies, procedures, and work practices. They are responsible to promote a safe, healthful, and secure work environment for employees and visitors, including persons with disabilities, that is free from violence, threats, harassment, and intimidation, and protects the public from harm in connection with its operations.

The following items summarize some of the most frequent safety and health requirements supervisors are expected to accomplish:

- Supervisors are the responsible persons to implement and maintain an effective Injury and Illness Prevention Program. (This includes, at a minimum, having a copy of the Department's Safety Manual available for reference purposes and for review by employees.)
- Supervisors shall conduct safety meetings with their employees to discuss safety and health matters, including provisions for persons with disabilities, workplace violence and security, specific workplace hazards, and encourage open discussions on employee concerns.
- Supervisors shall provide a safe and secure work environment that has zero tolerance for violence, threats, harassment, and intimidation in the workplace.
- Supervisors shall consistently monitor the actions of their staff, including subordinate supervisors, and whenever any incident relating to workplace violence occurs, it shall be dealt with immediately.

NOTE: Managers and supervisors must recognize that while behavioral and personal problems associated with workplace violence justify corrective action, they often indicate the need for professional counseling through the Employee Assistance Program (EAP).

Counseling can be provided to those employees who desire such intervention to reduce the short- and long-term effects of emotional and/or physical trauma. Supervisors shall assist employees in arranging for EAP counseling services.

See Chapter 6 - WORKPLACE VIOLENCE for more information.

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- Supervisors shall report all incidents of workplace violence to their supervisor, security guard, California Highway Patrol (CHP), Building Manager, or other appropriate authority immediately.

NOTE:

INJUNCTIONS: Whenever an employee has a temporary restraining order (TRO) in force to control personal contact and/or access by another person, they are requested to discuss the existence and terms and conditions of the TRO with their supervisor. The supervisor will endeavor to assist the employee in complying with the terms and conditions of the restraining order, including discussing enforcement details of the TRO with building security personnel and other appropriate management personnel.

VICTIM ASSISTANCE: As conditions may warrant, employees may be entitled to help in the form of counseling services, and other relief through victims assistance programs.

Contact the District or Headquarters Safety and Health offices for information.

- Supervisors shall conduct periodic safety inspections of all worksites to identify and correct unsafe conditions and unsafe acts, and document the results.
- Supervisors shall investigate and document all occupational injuries, illnesses, or acts of workplace violence, and identify corrective action that will prevent further occurrences.
- Supervisors shall ensure that all employees receive training to cover hazards basic to all places of employment, and specific training to cover hazards that are unique to each employee's job assignment.
- Supervisors shall ensure that each employee understands the assigned task, is provided with the necessary equipment, and follows all safety and health policies, procedures, and work practices.
- Supervisors are responsible to enforce all safety and health laws, rules, and policies, and shall initiate corrective action for employees who violate safety and health laws, rules, and policies.

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- Supervisors who fail to enforce safety and health policies, procedures, regulations, laws, or rules shall be disciplined in accordance with the provisions described in the “Caltrans Guide to Employee Conduct and Discipline.”
 - Supervisors shall be free from the effects of medication, controlled substances, alcohol, or the complications arising from illness or injury which might impair their judgment and/or ability to perform their work safely and efficiently.
 - Supervisors who observe an employee who appears to be unable to perform his/her assigned duties and have a concern about the safety of the employee or others, are responsible to prohibit that employee from continuing to work.

NOTE:

An employee who exhibits such behavior should be prohibited from working until a determination of the reason for the employee's behavior is made, or until a medical evaluation of the employee's fitness can be completed.

- Supervisors are responsible to designate a responsible person-in-charge when they are away from the workplace.
- Supervisors shall ensure that employee safety and health issues are discussed and assessed annually at the time of issuing an Individual Development Plan/Performance and Appraisal Summary, and/or at the time supervisors discuss employee probationary reports.

Supervisors with employees who regularly work in field assignments, and/or who may occasionally take a field trip shall also:

1. Discuss hazards associated with working near highway traffic.

Have pre-job discussions with employees to discuss hazards unique to their job assignment, including the hazards associated with working-on-foot, or performing pedestrian type activities, and working near highway traffic.

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2. Discuss increasing likelihood for drug-and alcohol-impaired drivers on the highways.

Talk to employees to improve their awareness of the increasing incidence of drug- and alcohol-impaired drivers on the highways, and instruct them to make frequent (facing traffic when possible) visual observations of moving traffic during their work activities.

SPECIAL NOTE:

FOR DESIGNATED “MANAGER” AND “SUPERVISOR”

1. Any reference to “**supervisor**” in this manual always includes first-line supervisor, second-line supervisor, and/or other persons of responsible charge in the chain-of-command. “Supervisor” includes designated Manager (M) and Supervisor (S).
2. *Because of the variety of civil service classifications used by the Department, some classifications and some working titles, such as “Resident Engineer”, may not be designated as “S” or “Supervisory”, but are still the responsible person-in-charge.*

Even though some working titles may not be designated “supervisor”, the individual is still responsible to carry out all elements of the Department’s Injury and Illness Prevention Program, because they are charged with the overall responsibility for a project, which includes enforcing safety and health policies, procedures, and work practices, and protecting employees, visitors, and the public from harm in connection with our operations.

Other persons with similar working titles are equally responsible to carry out all of the elements of the Department’s Injury and Illness Prevention Program.

1.09 EMPLOYEE RESPONSIBILITY FOR FOLLOWING SAFETY AND HEALTH POLICIES, PROCEDURES, AND WORK PRACTICES

All employees are responsible to conduct Caltrans business in the safest possible manner by following all policies, procedures, and safe work practices.

The following items summarize some of the most common safety and health requirements employees are expected to comply with:

- Employees are expected to report to work mentally and physically capable of performing all of their assigned duties without jeopardizing the safety and health of themselves, other employees, or the public.
- Employees are expected to attend safety meetings to discuss safety and health matters, workplace security and workplace violence concerns, and provide feedback to their supervisors.
- Employees shall follow proper work practices and help maintain a safe and secure work environment by complying with the Department's policy of zero tolerance for violence, threats, harassment, and intimidation in the workplace.
- Employees shall report all incidents of workplace violence to their supervisor, security guard(s), California Highway Patrol (CHP), Building Manager, or other appropriate authority immediately.

NOTE:

INJUNCTIONS: Whenever an employee has a temporary restraining order (TRO) in force to control personal contact and/or access by another person, they are requested to discuss the existence and terms and conditions of the TRO with their supervisor. The supervisor will endeavor to assist the employee in complying with the terms and conditions of the restraining order, including discussing enforcement details of the TRO with building security personnel and other appropriate management personnel.

VICTIM ASSISTANCE: As conditions may warrant, employees may be entitled to help in the form of counseling services, and other relief through victims assistance programs.

Contact the District or Headquarters Safety and Health offices for information.

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- Employees are expected to conduct daily safety inspections of their worksites to identify and correct workplace hazards, and/or if unable to correct notify their supervisor.
 - Employees shall do everything reasonably necessary to protect their own safety and health and that of others by complying with all occupational safety and health policies, procedures, work practices, laws, rules, or regulations to ensure safety and security for all employees, including persons with disabilities.
 - Employees shall promptly report all injuries, illnesses, unsafe conditions, and unsafe acts, to their supervisor immediately, or at least before the end of the work shift.
 - Employees shall use equipment properly and carefully, and follow all safety and health policies, procedures, and work practices, as directed by his/her supervisor, and ask for instructions or assistance if they are unable to understand the assigned task.
 - Employees who fail to comply with safety and health policies, procedures, regulations, laws, or rules shall be disciplined in accordance with the provisions described in the "Caltrans Guide to Employee Conduct and Discipline."
 - Employees shall be free from the effects of medication, controlled substances, alcohol, or the complications arising from illness or injury which might impair their judgment and/or ability to perform their work safely and efficiently.
 - Employees are responsible to notify their supervisor of any personal medical condition or prescribed medication which might impair their ability to perform their assigned duties. Employees should also report to their supervisor any behavior by another employee which reasonably indicates that they are not fit-for-duty.

1.10 RESPONSIBLE PERSON IN CHARGE

(For Field and Office Work Locations)

It has long been a Departmental practice and policy that whenever two or more employees are assigned to work together, someone be placed in charge.

This responsibility is usually assigned to the designated supervisor based upon his/her civil service classification. However, there may be occasions when the supervisor is unavailable to direct the work for short periods, such as during an emergency.

During such absences the supervisor is required to designate an individual to be in charge. Before leaving the worksite, the supervisor shall identify who is in charge, and what steps should be taken while he/she is away from the worksite.

It is especially important to have someone placed in charge, during the absence of the regular supervisor, in field operations where the safety of visitors and public is a consideration.

If the supervisor leaves the worksite (office or field location) and does not designate someone, the leadperson or senior member of the work group on-site will be deemed to be in charge.

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1.11 DEPARTMENTAL SAFETY AND HEALTH OFFICER AND STAFF

The Chief, Office of Safety and Health is the Departmental Safety and Health Officer. This position is charged with the responsibility to provide advice and counsel to the Director, Deputy Directors, Service Center Directors, Program Managers, District Directors, and the Caltrans Departmental Safety and Health Advisory Committee.

The Departmental Safety and Health Officer is also responsible to:

- organize and direct a support staff to monitor the implementation and maintenance of the Department's Injury and Illness Prevention Program, and related policy, procedures, and work practices;
- provide advice to managers, supervisors, and employees regarding interpretation and implementation of Cal-OSHA regulations, Labor Code provisions, Uniform Building Code regulations, and other applicable safety and health laws, rules, or standards;
- provide guidance to District Safety and Health Officers, the Construction Safety Coordinators, Maintenance Managers and Supervisors, and functional program safety liaison personnel about the Department's Injury and Illness Prevention Program;
- develop and/or recommend adoption of new and/or revised safety and health policies, procedures, and work practices; review, monitor, and recommend safety and health training programs;
- visit worksites and review operating techniques to identify unsafe work practices and unsafe work conditions and recommend appropriate corrective action;
- conduct safety and health reviews of field and office supervisors operations, records, and files to ensure compliance with the Department's Injury and Illness Prevention Program;
- conduct independent investigations of personal injury accidents and motorized equipment/vehicle accidents, as appropriate; and,
- enforce safety and health laws and policies if supervisors fail to carry out their assigned responsibilities and order cessation of work if an activity, materials, equipment, process, or environmental condition presents an imminent or serious hazard to employees' safety.

DEPARTMENTAL SAFETY AND HEALTH OFFICER AND STAFF, continued

The following list represents an overview of safety program activities provided by the Headquarters Office of Safety and Health staff:

OCCUPATIONAL SAFETY

- hazardous materials
- confined spaces
- respirator safety
- lighting
- chemical and pesticide
- ventilation
- hearing and noise exposure

FACILITY SAFETY

- machine and tool safety
- ergonomics
- facility inspections
- electrical safety
- personal protective equipment
- vehicle and equipment safety

ENVIRONMENTAL HEALTH

- biological hazards
- first aid care
- communicable diseases
- indoor air quality

EMERGENCY PLANNING

- emergency action plans
- evacuation procedures for persons with disabilities
- fire safety
- workplace violence
- earthquake preparedness

HEALTH PROMOTION

- worksite health screening
- nutrition and fitness
- health education
- medical self-care

LIAISON

- Caltrans program, service centers, offices and units
- Department of General Services
- Cal-OSHA
- other agencies

INFORMATION SERVICES

- newsletters
- new products evaluation
- Governor's Employee Safety Award
- Departmental safety advisory committee
- accident investigation, analysis, and prevention
- Safety Information Management System (SIMS) accident and injury data base
- safety manual
- safety incentive awards
- safety training programs

1.12 DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF

The District Safety and Health Officer provides guidance and direction to District managers, supervisors, and employees on safety and health issues, and interpretation and implementation of State law as contained in the Cal-OSHA standards, Labor Code provisions, Uniform Building Code regulations, and other applicable safety and health laws, rules, or standards; and are responsible to:

- organize and direct a support staff that monitors and oversees the implementation and maintenance of the Department's Injury and Illness Prevention Program, policy, procedures, and work practices by all managers and supervisors to ensure a safe and secure work environment for employees and the public, including persons with disabilities, that is free from violence, threats, harassment, and intimidation in all District facilities, worksites, and operations;
- provide assistance to managers and supervisors on how to encourage and/or enforce employees to follow safety and health laws, policies, procedures, and work practices to ensure compliance with the Department's Injury and Illness Prevention Program);
- conduct investigations of personal injury accidents and motorized equipment/vehicle accidents, review and classify accidents, and assign "preventability", document findings and prepare reports for management as needed;
- enforce safety and health laws and policies, if supervisors fail to carry out their assigned responsibilities, and order cessation of work if an activity, materials, equipment, process, or environmental condition presents an imminent or serious hazard to employees' safety;
- independently conduct, and provide guidance and direction to District Construction Safety Coordinators and Maintenance managers and supervisors covering **Operational Reviews** and **Safety and Health Reviews** as described below:

Operational Reviews:

The Operational Review process is part of the Department's Injury and Illness Prevention Program and is designed to examine field operating techniques and procedures to ensure they are conducted in compliance with Departmental policy, procedures, and work practices, and Cal-OSHA regulations.

DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF, continued**Operational Reviews, continued**

Operational Reviews cover typical field type work activities and work practices such as: lane closures, lane closure signs, placing cones, pilot car operations, vehicle parking, use of barrier or shadow vehicles, workers on foot, truck-mounted signs, flagging, etc., which are based on policies, procedures, and work practices contained in other Departmental manuals and resource material and are not specifically discussed or explained in this manual.

Detailed written instructions, charts, drawings, and illustrations covering most field-type work activities and work practices can be found in the Maintenance Program Manual, Construction Program Manual, Surveys Program Manual, other program specific manuals, various Code(s) of Safe Operating Practices (CSOP), emergency action plans, Material Safety Data Sheets (MSDS), Standard Plans, and other Departmental reference materials.

District Safety and Health Officers and their staff have full authority to conduct Operational Reviews in order to ensure uniform compliance with Departmental safety and health policies, procedures, work practices, and Cal-OSHA regulations.

Safety and Health Reviews:

The Safety and Health Review process is essentially a retrospective look at how well the Department's safety program has been implemented and maintained by the supervisor and his/her chain-of-command.

The safety and health review is designed to examine both office and field supervisors records to verify their compliance with the Department's Injury and Illness Prevention Program as described in this Safety Manual.

The following Sub-section titled “**CONDUCTING SAFETY AND HEALTH REVIEWS**” provides detailed instructions covering this review process.

DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF, continued**CONDUCTING SAFETY AND HEALTH REVIEWS**

- **Purpose and Scope**

The purpose of conducting a safety and health review is to evaluate compliance with Departmental policies, procedures, and work practices. The review will substantiate the supervisor's effectiveness in implementing and maintaining an effective injury and illness prevention program.

The reviews primary focus is to provide feedback to management regarding whether desired results are effectively achieved and to assist supervisors in carrying out their responsibilities.

The safety and health review provides the framework for the overall evaluation of the success of the supervisor and his/her chain-of-command in implementing and maintaining the Department's Injury and Illness Prevention Program.

The review also provides a systematic method of making objective analysis, appraisals, recommendations, and comments on selected activities contained in Departmental and Cal-OSHA safety standards.

The safety and health review is designed to:

- examine the supervisor's records;
- verify the supervisor's compliance with the Department's Injury and Illness Prevention Program;
- provide on-going audit assurances that supervisor is fulfilling his/her responsibilities; and
- provide direction to supervisors and serve as a basis for future evaluations and audits.

DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF, continued

- **Minimum Items for Review**

To ensure compliance with the Department's Injury and Illness Prevention Program the safety and health review shall include, at a minimum, the following requirements:

1. A review to ensure the supervisor has a copy of the Caltrans Safety Manual. This review is also made to ensure that employees know who is responsible for the safety program in their area.
Cal-OSHA § 3203(a)(1) GISO.
2. A review of safety records to ensure that safety meetings are scheduled and conducted on a regular basis and documented.
Cal-OSHA § 3203(a)(3) GISO, and § 1509(e) CSO.
3. A review of safety records to ensure that facility inspections and operation reviews are scheduled and conducted on a regular basis and documented. Cal-OSHA § 3203(a)(4) GISO.
4. A review of safety records to ensure that occupational injury accidents and illnesses are investigated and documented.
Cal-OSHA § 3203(a)(4)(A)(5) GISO.
5. A review of training records to ensure that employees are trained about hazards basic to all places of employment, and trained about hazards unique to each job assignment, and records maintained.
Cal-OSHA § 3203(a)(7) GISO.
6. A discussion with the supervisor about employees following policies, procedures, and safe work practices, and a discussion about taking appropriate disciplinary action whenever employees or supervisors violate safety and health laws, rules, and policies.
Cal-OSHA § 3203(a)(2) GISO.
7. A review of records to ensure that all safety and health matters are maintained in accessible files and that records of inspections and training are maintained for 1-year.
Cal-OSHA § 3203(b)(1) GISO.

NOTE:

Safety and health reviews are not intended to be limited to a "paper review" only. The review person(s) is encouraged to conduct an actual inspection as indicated in Item 3. above. Refer to Chapter 3 - SAFETY INSPECTIONS of this manual for details. The review process should also be used as an opportunity to assist local supervisors in carrying out the Department's safety program.

DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF, continued

- **Safety and Health Review Guidelines**

When District Safety and Health Officers or staff conduct a review they shall:

1. Keep in mind that the purpose of the review is to assist the supervisor by providing input and information, lending expertise and knowledge, not to criticize.
2. Be impartial and focus on gathering and analyzing information and making observations to help the supervisor manage his/her program.
3. Not assume that the supervisor has set up or maintains his/her records in the same manner as the Safety staff person. Variations meeting the criteria are allowable.
4. Have a person familiar with the record/file system accompany the Safety staff, if necessary, to answer questions during the review.
5. Ask for input during the review. Try to resolve questions during the review, rather than going back to review a second time.
6. Keep focused on the purpose of the review and not on peripheral non-safety items.
7. Document the observed deficiencies clearly and accurately.
8. Prioritize the deficiencies, focus on serious and imminent hazards first:
 - a. set priority for correcting the deficiencies.
 - b. set reasonable dates for correction of deficiencies, and
9. Prepare a written report.
10. Send the report to the first-line supervisor containing your findings with instructions or information about how to correct any identified deficiency. The report should contain a sequential presentation of the findings and procedures to carry out the recommendations.

Copies of the written report may also be sent to the second-line supervisor, or others, as may be deemed appropriate.

DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF, continued

- **Type and Frequency of Safety and Health Reviews**

District Safety and Health Officers shall conduct the reviews as follows:

TYPE 1. INFORMAL REVIEWS - all worksites - periodically with no fixed schedule.

This type of review is best conducted when the District Safety and Health Officers or staff visits a worksite. The review should always be made in cooperation and with knowledge of the supervisor.

Informal reviews can be conducted with minimum documentation. All serious deficiencies must be documented along with the steps recommended to correct the situation and/or deficiency. Minor deficiencies may be documented if not immediately corrected.

TYPE 2. FORMAL REVIEWS - field worksites - periodic with fixed schedule.

This type of review is conducted at all permanent field worksites (Maintenance, Construction, Surveys, etc.) at State-owned, rented, and leased facilities at least once every two (2) years.

TYPE 2. FORMAL REVIEWS - office worksites - periodic with fixed schedule.

This type of review is conducted at all permanent office worksites, including State-owned, rented, and leased facilities at least once every two (2) years.

Formal reviews must be documented. The documentation must include specific identification of an observed deficiency, recommended corrective action, and a schedule by which the deficiency will be corrected.

TYPE 3. SPECIAL REVIEWS - all worksites - periodically with no fixed schedule.

This type of review is conducted whenever a supervisor invites a Safety and Health Officer or staff to their facility or worksite; whenever a serious occupational injury or illness occurs; a serious or life threatening hazard is alleged to exist; and/or an unsafe condition is alleged to exist during a work activity, or upon written or verbal request of the supervisor or manager of the facility or worksite.

Special reviews must be documented. The documentation must include specific identification of an observed deficiency, recommended corrective action, and a schedule by which the deficiency will be corrected.

DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF, continued

- **Notification of Findings and Recommendations**

The purpose of notifying the supervisor about the results of a review is to help them take corrective action to fulfill their responsibilities and serve as a guide for the future.

Whenever a review reveals a deficiency, the supervisor shall be notified in writing. The notification shall list each item and explain what must be done to correct the deficiency.

For example, if a deficiency is found covering one of the items listed under sub-section **Minimum Items for Review** (page 1-23 above), the supervisor should be informed about these special requirements, and told in which chapter and/or section of the Safety Manual the requirement is described.

When the review does not reveal any deficiencies, the supervisor shall also be notified in writing. Supervisors shall receive appropriate recognition for work practices that promote safety and health and workplace security.

- **Correcting Deficiencies**

Supervisors are responsible to initiate appropriate corrective action as soon as possible following notification of a deficiency. Serious and imminent hazards require immediate corrective action.

(It is recognized that supervisors do not always have authority or the ability to correct deficiencies. Supervisors must, however, initiate appropriate action to arrange for others to correct the deficiencies.)

After the initial review, the District Safety and Health Officer shall conduct a follow-up review on each identified deficiency that is documented in the report.

This follow-up process is done to ensure that each deficiency, or other safety-related item, is corrected in a timely manner considering their severity.

1.13 DEPARTMENTAL SAFETY AND HEALTH ADVISORY COMMITTEE

The Caltrans Departmental Safety and Health Advisory Committee consists of six (6) permanent members:

- The permanent chairperson is the Administrative Service Center Director.

The other five (5) permanent Committee members are:

- Program Manager for the Maintenance Program,
- Program Manager for the Construction Program,
- Program Manager for the Traffic Operations Program,
- Chief Counsel for the Legal Program, and
- a District Director on a rotating basis.

The Chief, Office of Safety and Health is the Committee Secretary.

The purpose of the Committee is to:

- Provide direction to the Chief, Office of Safety and Health regarding the Department's Injury and Illness Prevention Program (IIPP), Workers' Compensation Program, and risk management and loss control.
- Provide direction to the Chief, Office of Safety and Health to ensure that safe and secure work environments free from violence, threats, harassment, and intimidation are maintained for employees and the public, including persons with disabilities, at all Caltrans facilities.
- Ensure that all legislation concerning the Department's Safety and Health Program is monitored, and ensure that the provisions of enacted legislation are appropriately implemented.
- Review and act on the recommendations offered by the Departmental Accident Review Team (DART). (See note below.)

The Committee does not operate on a pre-scheduled basis, but rather acts proactively as an advisory board when issues arise, on a meeting-by-meeting basis, and/or as agenda or critical items may dictate.

NOTE: See Chapter 19 - SPECIAL REPORTING OF SERIOUS INJURY, ILLNESS OR FATALITY, for an explanation of the Departmental Accident Review Team (DART) process.

1.14 DISTRICT ACCIDENT PREVENTION COMMITTEES

Each District Director may establish a District Accident Prevention Committee. The Committee should be comprised of management, supervisors, and employees.

The District Director or designee should appoint a chairperson who may serve on a rotating basis. The District Safety and Health Officer shall be a permanent member and acts as co-chairperson. Members of the District Safety and Health staff shall provide assistance to committee members as required.

The Committee should meet on a regular basis to:

- provide direction in maintaining the Department's Injury and Illness Prevention Program.
- review selected motor vehicle and personal injury accidents in order to analyze the circumstances surrounding the accidents and recommend new and/or improved work practices to prevent their recurrence. (See NOTE below.)
- review, evaluate, and recommend safety and health improvement ideas to management.
- solicit input from employees, employee organizations, and other interested parties regarding safety and health issues.
- ensure that the District employee safety and health programs are communicated effectively to and complied with by all employees.
- give recognition in the form of awards, certificates, etc., for individual and group safety achievements.

NOTE:

The District Accident Prevention Committee does not review accidents for the purpose of determining their classification or preventability as discussed in Chapter 18 - MOTOR VEHICLE ACCIDENTS. Determining preventability is the responsibility of the second-line supervisor and the District Safety Officer. See Section 1.12 DISTRICT SAFETY AND HEALTH OFFICERS AND STAFF, for details.

1.15 ESTABLISHING SAFETY AND HEALTH COMMITTEES

Service Center Directors and Program Managers may establish additional safety and health operating and/or advisory committees similar to District accident prevention committees.

They may also develop other applicable safety programs to maintain and/or improve employee safety and health and promote the Caltrans Injury and Illness Prevention Program, provided such committees and programs complement existing programs and committees.

Contact the Headquarters Office of Safety and Health for assistance if a committee or an advisory group is being considered.

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